



OFFICE OF FINANCE
REFUND SECTION

DEPT REF Room 307
PATENT
Customer Number 22,852
Attorney Docket No. 08613.0002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

US PATENT & TRADEMARK
OFFICE

#6 Reg for refund
w/ Small
Entity

Douglas James LITTLE et al.

) Group Art Unit:

Serial No.: 09/991,914

) Examiner:

Filed: November 26, 2001

For: METHOD AND APPARATUS FOR
DEVELOPING INVESTMENTS

**OFFICE OF FINANCE
REFUND SECTION**

Assistant Commissioner for Patents
Washington, DC 20231
Sir:

Sir:

REQUEST FOR REFUND UNDER 37 C.F.R. § 1.28

Applicants paid the filing fee of \$2820.00 timely on November 26, 2001.

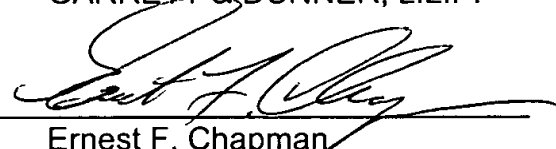
Applicants are now claiming small entity status and request a refund of 1/2 of the filing fee paid on November 26, 2001.

Applicants request a refund pursuant to 37 C.F.R. § 1.26, this request being made within the three-month period provided in 37 C.F.R. § 1.28.

Please issue the refund to Deposit Account No. 06-0916 of the undersigned firm of attorneys and indicate our case reference 08613.0002.

Respectfully submitted,
FINNEGAN, HENDERSON, FARABOW,
GARRETT & DUNNER, L.L.P.

Dated: 2/7/02

By: 
Ernest F. Chapman
Reg. No. 25,961

EFC/FPD/peg



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/991,914	11/26/2001	Douglas Little	08613.0002

CONFIRMATION NO. 7544

FORMALITIES LETTER



OC000000007172830

Finnegan, Henderson, Farabow,
Garrett & Dunner, L.L.P.
1300 I Street, N.W.

Washington, DC 20005-3315
03/13/2002 SDIRETA1 00000003 09991914

05 FC:205

65.00 DP

Date Mailed: 12/07/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

Adjustment date: 03/13/2002 SDIRETA1
02/19/2002 TV0111 00000026 060916 09991914
01 FC:105 65.00 CR -65.00 DP

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

02/19/2002 TV0111 00000026 060916 09991914
01 FC:105 65.00 CH 65.00 DP

Repln. Ref: 03/13/2002 SDIRETA1 0010070300
DAH:060916 Name/Number: 09991914
FC: 704 \$65.00 CR

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

Adjustment date: 02/19/2002 TV0111
02/11/2002 MBERHE 00000003 09991914
01 FC:205 65.00 DP

02/11/2002 MBERHE 00000003 09991914
01 FC:205

65.00 DP



HH

#3

Sedor #1

PATENT

Customer Number 22,852

Attorney Docket No. 08613.0002

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Douglas James LITTLE et al.

Serial No.: 09/991,914

Filed: November 26, 2001

For: METHOD AND APPARATUS FOR
DEVELOPING INVESTMENTS)
)
) Group Art Unit:
)
) Examiner:
)
)
)
)
)Assistant Commissioner for Patents
Washington, DC 20231Attention: **BOX MISSING PART**

Sir:

RESPONSE TO NOTICE TO FILE MISSING PARTS

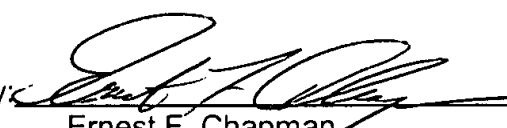
In response to the Notice To File Missing Parts dated December 7, 2001,
enclosed is the Declaration and a copy of the Notice To File Missing Parts.

Also enclosed is a check in the amount of \$65.00 to cover the surcharge of
\$65.00. Authorization is hereby given to charge any additional fees to our deposit
account no. 06-0916.

Please associate this Declaration with the application as filed on November
26, 2001, and assigned serial number 09/991,914.

Respectfully submitted,
FINNEGAN, HENDERSON, FARABOW,
GARRETT & DUNNER, L.L.P.

Dated: 2/7/02

By: 
Ernest F. Chapman
Reg. No. 25,961

Enclosures
EFC/FPD/peg

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